



**TRANSMISSION OF INFORMATION DISCLOSURE STATEMENT
(Under 37 CFR 1.97(d))**

Docket No.
12351-US

In Re Application Of: **Muthukumaran Packirisamy et al.**

Serial No. 09/986,828	Filing Date November 13, 2001	Examiner Ellen E. Kim	Group Art Unit 2874
Title: PLANAR WAVEGUIDE ECHELLE GRATING WITH ASTIGMATIC GRATING FACETS			

Address to:

**Assistant Commissioner for Patents
Washington, D.C. 20231**

1. The Information Disclosure Statement submitted herewith is being filed after a Final Action under Section 1.113, or a Notice of Allowance under Section 1.311, whichever occurs first, but before, or simultaneously with, the payment of the issue fee. Submitted herewith is a certification as specified in 37 CFR 1.97(e).
2. Applicant hereby petitions for consideration of the Information Disclosure Statement submitted herewith. The Petition Fee specified in 37 CFR 1.17(i) is to be paid as follows:

- A check in the amount of **\$180.00** is attached.
 Charge Deposit Account No. _____ in the amount of _____
A duplicate of this sheet is attached.

Certificate of Transmission by Facsimile*

I certify that this document and authorization to charge deposit account is being facsimile transmitted to the United States Patent and Trademark Office (Fax No. _____) on _____
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Signature

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Typed or Printed Name of Person Mailing Correspondence

*This certificate may only be used if paying by deposit account.

Richard J. Mitchell

Signature

Richard J. Mitchell

34,519

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P.O. Box 957, Station B
Ottawa, ON, K1P 5S7
CANADA**

CC:

Dated: **January 7, 2004**

01/14/2004 MBELETE1 00000079 09986828
180.00 OP
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FEE TRANSMITTAL for FY 2004

Effective 10/01/2003. Patent fees are subject to annual revision.

 Applicant claims small entity status. See 37 CFR 1.27

TOTAL AMOUNT OF PAYMENT (\$ 180.00)

Compl te if Known

Application Number	09/986,828
Filing Date	November 13, 2001
First Named Inventor	Muthukumaran Packirisamy
Examiner Name	Ellen E. Kim
Art Unit	2874
Attorney Docket No.	12351-US

METHOD OF PAYMENT (check all that apply)

 Check Credit card Money Order Other None
 Deposit Account:

Deposit Account Number

13-1717

Marks & Clerk

The Director is authorized to: (check all that apply)

- Charge fee(s) indicated below Credit any overpayments
 Charge any additional fee(s) or any underpayment of fee(s)
 Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account.

FEE CALCULATION

1. BASIC FILING FEE

Large Entity	Small Entity	Fee Description	Fee Paid
Fee Code (\$)	Fee Code (\$)		
1001 770	2001 385	Utility filing fee	0
1002 340	2002 170	Design filing fee	0
1003 530	2003 265	Plant filing fee	0
1004 770	2004 385	Reissue filing fee	0
1005 160	2005 80	Provisional filing fee	0
SUBTOTAL (1) (\$)		0	

2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE

Total Claims	Independent Claims	Multiple Dependent	Extra Claims	Fee from below	Fee Paid
			-20** =	X 0	= 0
			- 3** =	X 0	= 0
				0	= 0

Large Entity	Small Entity	Fee Description
Fee Code (\$)	Fee Code (\$)	
1202 18	2202 9	Claims in excess of 20
1201 86	2201 43	Independent claims in excess of 3
1203 290	2203 145	Multiple dependent claim, if not paid
1204 86	2204 43	** Reissue independent claims over original patent
1205 18	2205 9	** Reissue claims in excess of 20 and over original patent
SUBTOTAL (2) (\$)		0

**or number previously paid, if greater; For Reissues, see above

3. ADDITIONAL FEES

Large Entity Small Entity

Fee Code (\$)	Fee Code (\$)	Fee Description	Fee Paid
1051 130	2051 65	Surcharge - late filing fee or oath	0
1052 50	2052 25	Surcharge - late provisional filing fee or cover sheet	0
1053 130	1053 130	Non-English specification	0
1812 2,520	1812 2,520	For filing a request for ex parte reexamination	0
1804 920*	1804 920*	Requesting publication of SIR prior to Examiner action	0
1805 1,840*	1805 1,840*	Requesting publication of SIR after Examiner action	0
1251 110	2251 55	Extension for reply within first month	0
1252 420	2252 210	Extension for reply within second month	0
1253 950	2253 475	Extension for reply within third month	0
1254 1,480	2254 740	Extension for reply within fourth month	0
1255 2,010	2255 1,005	Extension for reply within fifth month	0
1401 330	2401 165	Notice of Appeal	0
1402 330	2402 165	Filing a brief in support of an appeal	0
1403 290	2403 145	Request for oral hearing	0
1451 1,510	1451 1,510	Petition to institute a public use proceeding	0
1452 110	2452 55	Petition to revive - unavoidable	0
1453 1,330	2453 665	Petition to revive - unintentional	0
1501 1,330	2501 665	Utility issue fee (or reissue)	0
1502 480	2502 240	Design issue fee	0
1503 640	2503 320	Plant issue fee	0
1460 130	1460 130	Petitions to the Commissioner	0
1807 50	1807 50	Processing fee under 37 CFR 1.17(q)	0
1806 180	1806 180	Submission of Information Disclosure Stmt	180.00
8021 40	8021 40	Recording each patent assignment per property (times number of properties)	0
1809 770	2809 385	Filing a submission after final rejection (37 CFR 1.129(a))	0
1810 770	2810 385	For each additional invention to be examined (37 CFR 1.129(b))	0
1801 770	2801 385	Request for Continued Examination (RCE)	0
1802 900	1802 900	Request for expedited examination of a design application	0
Other fee (specify)			

*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$ 180.00)

SUBMITTED BY

(Complete if applicable)

Name (Print/Type)	Richard J. Mitchell	Registration No. (Attorney/Agent)	34,519	Telephone (613) 236-9561
Signature			Date	01/07/2004

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

This collection of information is required by 37 CFR 1.17 and 1.27. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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**STATEMENT UNDER 37 CFR 1.97(e) ACCOMPANYING
INFORMATION DISCLOSURE STATEMENT**

Docket No.
12351-US

In Re Application Of: **Muthukumaran Packirisamy et al.**

Serial No. 09/986,828	Filing Date November 13, 2001	Examiner Ellen E. Kim	Group Art Unit 2874
Invention: PLANAR WAVEGUIDE ECHELLE GRATING DEVICE WITH ASTIGMATIC GRATING FACETS			

TO THE ASSISTANT COMMISSIONER FOR PATENTS:

This is a statement under the provisions of 37 CFR 1.97(e) in the above-identified application.

Check applicable statement herebelow:

Statement Under 37 CFR 1.97(e)(1)

- Each item of information contained in the accompanying information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the information disclosure statement.

Statement Under 37 CFR 1.97(e)(2)

- No item of information contained in the accompanying information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the undersigned person, after making reasonable inquiry, no item of information contained in the accompanying information disclosure statement was known to any individual designated in 37 CFR 1.56(c) more than three months prior to the filing of the information disclosure statement.



[Handwritten signature of Richard J. Mitchell]
Signature

Dated: **January 7, 2004**

Richard J. Mitchell
34,519

MARKS & CLERK
P.O. Box 957, Station B
Ottawa, ON, K1P 5S7
CANADA

I certify that this document is being deposited on _____ with the U.S. Postal Service as first class mail under 37 C.F.R. 1.8 and is addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231.

[Handwritten signature of Richard J. Mitchell]
Signature of Person Mailing Correspondence

Typed or Printed Name of Person Mailing Correspondence

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PTO/SB/08a (08-03)

Approved for use through 07/31/2006. OMB 0651-0031

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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Substitute for form 1449A/PTO

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary)

- Sheet

1

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1

Complete if Known

Application Number	09/986,828
Filing Date	13 November 2001
First Named Inventor	Muthukumaran PACKIRISAMY
Art Unit	2874
Examiner Name	Ellen E. Kim
Attorney Docket Number	12351-US

U. S. PATENT DOCUMENTS

FOREIGN PATENT DOCUMENTS

Examiner Signature		Date Considered	
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*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. 1 Applicant's unique citation designation number (optional). 2 See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. 3 Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). 4 For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. 5 Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. 6 Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. **SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.**

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